

**REQUEST FOR QUALIFICATIONS**

**FOR**

**WATER SUPPLIERS**

**TO**

***SUPPLY POTABLE WATER TO MEET  
BOTH THE SHORT AND LONG TERM  
WATER NEEDS OF DECATUR, RIPLEY  
AND JENNINGS COUNTIES***

**DUE TO THE INDIANA FINANCE AUTHORITY BY**

**SEPTEMBER 28, 2007**

**12:00 P.M. EDT**

## REQUEST FOR QUALIFICATIONS OVERVIEW

This is a Request for Qualifications (“RFQ”) issued by the Indiana Finance Authority (“Authority”). The intent of this RFQ is to solicit expressions of interest, ideas, and qualifications from qualified parties (the “Respondents”) who are interested in and capable of researching, designing, developing and implementing proposed solutions to supply adequate potable water to one or more or to a portion of one of the following counties in order to help address both the short and long term water supply needs of Decatur County, Ripley County and Jennings County (“Three County Region”).

The Authority creates no obligation, expressed or implied, by issuing this RFQ or by receipt of any submissions pursuant hereto. The award of any financial assistance as a result of this RFQ shall be at the sole discretion of the State Budget Committee, upon the recommendation of the Authority. Neither this RFQ nor any proposal submitted in response hereto is to be construed as a legal offer. No financial assistance will be awarded without further discussion and negotiation with the Respondents. The Authority will not be responsible for any expenses incurred by any entity in preparing and submitting information responding to this request.

### **I. Confidential Information**

Respondents are advised that materials contained in their responses are subject to the Indiana Public Records Act, IC 5-14-3 et seq. Respondents claiming a statutory exception to the Indiana Public Records Act, must indicate on their proposal that confidential materials are included and specify which statutory exception provision applies. The Authority reserves the right to make determinations of confidentiality. If the Authority does not agree with the information designated confidential under one of the disclosure exceptions to the Public Records Act, it may either reject the proposal or discuss its interpretation of the allowable exceptions with the Respondent. If agreement can be reached, the proposal will be considered. If agreement cannot be reached, the Authority will remove the proposal from consideration for award and return the proposal to the Respondent. The Authority will not determine price to be confidential information.

### **II. Scope of Work**

The proposed scope of work consists of research, design and planning for a system to supply potable water to one or more or to a portion of one of the counties in the Three County Region in order to address both their short term and long term water needs. Respondents must be qualified and willing to perform the following general tasks:

- (a) identify the short term potable water needs of the citizens and businesses in the Three County Region;
- (b) propose a plan on how to supply the water to the citizens and businesses in the Three County Region in order to meet their short term needs. The plan should provide efficient and economical solutions to meet the short term potable water needs;
- (c) identify long term potable water needs of the citizens and businesses in the Three County Region;

- (d) propose a plan on how to supply the water to the citizens and businesses in the Three County Region in order to meet their long term needs. The plan should provide efficient and economical solutions that will meet the long term potable water needs;
- (e) propose a plan for the implementation of a regional water system;
- (f) propose solutions that will eliminate the limited supply of water in the Three County Region and take into consideration the potential of economic growth.

### **III. Terms**

#### **Overview of Process**

This RFQ is open to all parties capable of and qualified to meet the objectives and requirements described in this document. Upon receipt, all RFQ submissions will be reviewed for completeness in accordance with the submission criteria highlighted in Section V of this RFQ. At the end of the completeness review, the Authority will assess each Respondent's qualifications based upon the criteria set forth in Section V. After the review of RFQ submissions, Respondents that are deemed qualified by the Authority will receive correspondence providing additional information on possible interviews.

The Authority accepts no liability or responsibility for any fees or costs incurred to the Respondent during and related to this process.

The State Budget Committee will review and approve any recommendation resulting from this RFQ process.

#### **Legal Agreements**

Please note the Authority has adopted many of the required State of Indiana boilerplate contractual provisions. The Authority hereby puts the Respondents on notice that a successful award at the end of the process will be contingent upon the financial assistance agreement complying with these standard contractual provisions (including but not limited to drug-free workplace certifications, minority and women business enterprise compliance, nondiscrimination certifications, licensing standards, certifications relating to HIPAA, certifications regarding telephone solicitations, and certifications relating to State ethics policies.)

Respondent shall certify, within the letter of transmittal, that all information provided in its response is accurate and complete to the best of its knowledge. Any false or misleading information may result in disqualification of the Respondent, at the discretion of the Authority. The Authority reserves the right to modify or terminate this solicitation at any stage if it determines this action to be in its best interest. The receipt of responses or other documents at any stage of the RFQ process will in no way obligate the Authority to enter into any contract of any kind with any party.

#### IV. Responses

Prospective parties that anticipate responding to this RFQ should indicate their intent as soon as possible by providing contact information via e-mail to Ms. Deborah S. Wright at [dwright@ifa.in.gov](mailto:dwright@ifa.in.gov).

On or before September 28, 2007, Respondents should submit **an original and five (5) copies of their written response (please make sure permanent bindings are not used)**, as well as an electronic copy to:

**Indiana Finance Authority  
c/o State Revolving Fund Loan Program  
Attn: James P. McGoff  
100 North Senate Avenue, Room 1275  
Indianapolis, IN 46204**

**[jmcgoff@ifa.in.gov](mailto:jmcgoff@ifa.in.gov)**

Responses must be received no later than **12:00 p.m. (noon) EDT on September 28, 2007**. Responses received after 12:00 p.m. EDT on such date are at the discretion of the Authority as to whether or not they are considered. The outside (or subject line of the e-mail) should be clearly marked:

**"RESPONSE TO REQUEST FOR QUALIFICATIONS – SUPPLYING WATER TO  
MEET THE NEEDS OF DECATUR, RIPLEY & JENNINGS COUNTIES"**

No more than one (1) response per Respondent should be submitted. Each response should designate one person as the principal contact for the Respondent. Please provide the contact information for that person including email address. Following a review of the responses, some of the Respondents may be requested to make oral presentations and/or provide additional written information.

Any questions regarding this RFQ must be submitted in email to **James P. McGoff at [jmcgoff@ifa.in.gov](mailto:jmcgoff@ifa.in.gov) and Deborah S. Wright at [dwright@ifa.in.gov](mailto:dwright@ifa.in.gov)** no later than **12:00 p.m. EDT on September 12, 2007**. Questions received after 12:00 p.m. EDT on such date will not be considered. Depending upon the content and scope of the question, responses to questions will be promptly prepared and provided to each entity that has shown an interest in responding and provided contact information via email (as described above).

**OTHER THAN AS PROVIDED ABOVE, INQUIRIES ARE NOT TO BE DIRECTED TO ANY STAFF MEMBER OR OTHER MEMBER OF THE AUTHORITY OR ANY OTHER STATE-RELATED EMPLOYEE. SUCH ACTION MAY DISQUALIFY THE RESPONDENT FROM FURTHER CONSIDERATION. RESPONDENTS MAY NOT RELY UPON VERBAL RESPONSES TO ANY INQUIRY.**

## **V. Selection Process and Criteria**

The Authority will review all of the responses in the following manner:

1. Each response will be evaluated on the basis of the specific criteria listed below.
2. Based on the results of the evaluation, the response(s) determined to be most advantageous to the Three County Region, taking into account all of the evaluation criteria, may be selected by the Authority for further action.
3. The Authority supports the “Buy Indiana” initiative. It is a strong preference that Respondents meet the definition of an Indiana Business. Please refer to the following website to see if you fit within the definition and to learn more about the “Buy Indiana” initiative: <http://www.in.gov/idoa/proc/buyindiana.html>.
4. The Authority must approve changes in the composition of a Respondent team after submission if the team is comprised of more than one entity.
5. A single Respondent or a limited number of Respondents may be selected for interviews and/or financial assistance negotiations. In the event that negotiations are not satisfactory, the Authority reserves the right to interview and/or negotiate with additional Respondents, but is not obligated to do so.
6. The Authority will determine which response(s) offer(s) the best means of servicing the interests of the Three County Region.

Responses will be evaluated based upon the documented ability of the Respondent to satisfy the requirements of this RFQ in a cost-effective manner. Specific Criteria include:

1. Experience of the Respondent and its personnel; specifically as it pertains to the development of a potable water needs plan and the ability to implement viable solutions.
2. Technical qualifications, experience, and reputation of the Respondent.
3. Familiarity of the Respondent with the water needs of any or all of the counties in the Three County Region.
4. The benefits being provided to one or more or to a portion of one of the counties in the Three County Region.
5. Cost associated with wholesaling water to one or more or a portion of one of the counties in the Three County Region and/or rates to be charged to individual customers.
6. Familiarity of the Respondent with all applicable criteria, rules, regulations and statutes pertaining to the proposed plan and all viable solutions.
7. Ability to manage, coordinate and react to diverse interests of existing water utilities in multiple counties.
8. Experience and/or the capability of the Respondent in being able to supply water to all three counties.

9. Demonstrated experience in developing and managing a timeline and an aggressive schedule.
10. Quality, timeliness, and thoroughness of the response submitted.
11. Current workload and composition of those employees who would work on the project.
12. Evidence of readiness of the Respondent to begin supplying water upon receiving notice of being the successful Respondent.
13. The State of Indiana is interested in encouraging the participation of minority-owned and women-owned firms. If the Respondent qualifies as a minority-owned or women-owned firm, please provide the appropriate certifications.

## **VI. Required Respondent Information**

The Authority requires the following information be included in the response. Additional information may be and is encouraged to be submitted in order for the Authority to better evaluate the selection criteria listed above. A concise yet thorough collection of information is requested.

1. Entity name and address of principal location and office(s).
2. Please describe:
  - (a) A brief history of your entity and how the selection of your entity would benefit one or more of counties in the Three County Region.
  - (b) Your entity's experience, background, or expertise that qualifies your entity for this project.
  - (c) Number of full-time regular employees, and their licenses.
3. List names, titles, and experience of staff members who would be assigned to perform significant work on this project. Briefly outline the roles of the staff members and key personnel. The Authority would like to have one point of contact identified.
4. Indicate how your entity will provide the services requested in this RFQ and the type and amount of financial assistance being requested from the State for those services. Provide any project histories or other information available that would indicate past performance on similar types of projects (especially that which would address the selection criteria).
5. References:
  - (a) List three persons who can provide information about similar work your entity has completed (references may be contacted).
  - (b) Provide a list of financial references that can provide information about the entity.
6. Submit a list of work similar to the proposed project and a list of other similar work completed within the last five years. The list should be of comparable projects in which your entity has participated. Respondents should specify how these comparable projects relate to the proposed project.

7. Submit a copy of a current Certification issued by the State of Indiana, reflecting areas in which the Respondent or members of the Respondent's entity are certified.
8. Provide estimated fees and expenses that your entity would likely incur in completing the project(s) and would seek reimbursement.
9. Include a schedule of your current rates and charges to existing customers (i.e. individual, commercial & wholesale customers).
10. Provide details of any relevant criminal investigations, material pending litigation, regulatory or civil enforcement actions pending against your entity.

## **VII. Time Line**

1. RFQ Response due September 28, 2007
2. Interviews and reviews of proposals – November 2007